

Procurement Files Guideline - 6.10.G (01/08/02)

[Last Update: \(01/08/02\) ABachicha:kma - 6.10.G.0](#)

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Last Update: (01/08/02) ABachicha:kma - 6.10.G.0

This guideline is being revised to update the filing index to add an identifier for the Limitation of Obligation documentation.

Filing Procedures - 6.10.G.1

The Oracle System will automatically assign a number for the solicitation and a different number for the Purchase Order (PO). The Oracle Filing System is comprised of two stages: the solicitation stage, and the award stage. Under this system, documents filed during the solicitation stage will be filed under solicitation number and the remaining documents under the Purchase Order number. After the proposals have been received, they will be filed under Identifier 1.13. After the SCR creates a PO, then the remaining documents will be filed under the PO number. The proposals will have to be rescanned and filed either under Identifier C.1 or D.1. Then the two parts will be merged to the PO number utilizing the Markview associate document feature.

Internal Documents Filing Requirements - 6.10.G.1.a

This section applies to documents generated at SNL and external documents received electronically by the SCR.

The Oracle Filing System will have a list identifying the items required for filing. Solicitation stage documents titles are identified by numeric characters whereas the contract award titles are identified by alpha numeric characters. When the SCR generates or receives an electronic document the SCR may file under the appropriate Oracle file by typing in the solicitation number, document identifier number and the title or may chose to print a hard copy and forward to the Scanning Clerk for filing. Hard copy documents not generated by the SCR will be forward to the Scanning Clerk for scanning. Documents forwarded to the Scanning Clerks for scanning and filing will cite the following information in the upper right-hand corner of the document:

- Solicitation or PO number
- Identifier (from Oracle document list)

Examples: The following are example or different scenarios:

1. SCR generates an SF 98a DOL wage determination request for Solicitation 234. The SCR will cite the following information in the upper right hand corner: Solicitation 234-1.9 and forward to the Scanning Clerk for filing. The number 234 is the solicitation number and the number 1.9 is the Oracle identifier for the SF 98a.
2. The SCR generates or receives from the Requestor an electronic GFP Justification for Solicitation 234. The SCR may choose to:
 - file the document in Oracle by typing the solicitation number, identifier and the title of the document.. In this scenario the SCR will type in 234-1.7 GFP Justification and files , or
 - print a copy of the document Solicitation 243-1.7 and forward to Scanning Clerk for filing.

Under the scenarios above, the SCR may chose to file documents after the PO is created using the PO number and the Oracle identifier.

Under the following scenarios once a PO has been generated the contract award document are filed under the PO number and an image will not have to be retrieved for additional filing using the Markview feature.

3. SCR generates a PAS and 171 has been assigned to the PO. The SCR may choose to:
 - file the document by typing in the PO number, identifier and title of the document. In this scenario the SCR will type 171-B-12 Procurement Action Summary and files, or
 - make a copy and cite the following information in the upper right hand corner, PO 171-B-12 and forward to Scanning Clerk for filing.
4. SCR receives an electronic copy of a technical evaluation for Solicitation #234 and PO # 171 has been assigned. The SCR may choose to:
 - file the document by typing in the PO number, identifier and title of the document. In this scenario the SCR will type 171-B-2, Technical Evaluation and files, or
 - print a copy of the document cite 171-B-2, the PO number and identifier, and submit to scanning clerk for filing.

External Documents Filing Requirements - 6.10.G.1.b

The section applies to hard copy documents received at SNL from external sources.

All documents received at Sandia from external sources regarding a procurement will be processed through the SCR. The SCR will properly identify the section where the document is to be filed and forward to the scanning clerk.

All external hard copy documents received at SNL will be batched and filed after they are scanned into the contract file. The documents will be retained in the batch file for a period of 30 days after they are scanned; after which time they may be destroyed.

Oracle Document List and Identifiers - 6.10.G.1.c

The following is the list of documents and identifiers that are used under the Oracle system

<u>DOCUMENT TYPE</u>	DOCUMENT NAME (VALUES)
CONTRACT AWARD DOCUMENTATION (PO)	
Section A	
	Supplier Document Set
	A.2 Cover Page (Signed)
Section B	
	B.1 Abstract of Purchase
	B.2 Technical Evaluation
	B.3 Tech. Review of Cost/Price
	B.4 Buy American Evaluation
	B.5 Cost/Price Analysis Report
	B.6 Preaward Audit Report
	B.7 Subcontracting Plan with Approval

	B.8 Prenegotiation Plan
	B.9 Record of Negotiations
	B.10 Certificate of Current Cost or Pricing Data
	B.11 Financial Approval
	B.12 EEO Clearance
	B.13 OCI Determination
	B.14 FOCI
	B.15 Regret Letters
	B.17 Weighted Guidelines or Profit Determination
	B.18 Legal Approval
	B.19 Other Supporting Documentation (i.e., Undefined Terms Contract or Revision Documentation)
	B.20 TEAM Review/Self-Assessment/Audits
	B.21 Procurement Action Summary
	B.22 Limitation of Obligation Documentation
Section C	
	C.1 Winning Proposal
	C.2 Revisions and Proposals

Section D	
	D.1 Non-Winning Proposals (Input Supplier Name)
	D.2 Supplier's Correspondence
Section E	
General Administration	
	E.1 Contract Administration Information (interim audits, invoice actions, shipping, etc.)
	E.2 Cost Forecasting/Status Reports
	E.3 General Correspondence
	E.4 Contract Closeout Documentation
	E.5 Award Fee Documentation
	E.6 Reclassification Documentation

Section F	
<u>SOLICITATION</u>	1.1 Sole-Source or Sole-Make Justification or Consultant Justifications
	1.2 PR, Initial SOW, Specs, Drawings or other PR Attachments
	1.3 Sandia Independent Cost Estimate Detail
	1.4 Make-Buy Documentation
	1.5 Request for Information
	1.6 Acquisition Planning/Market Survey Evaluation Plan
	1.7 GFP Justification
	1.8 Supplier Relations Approvals
	1.9 SF98a and DOL Wage Determination
	1.10 Solicitation Revisions
	1.11 Other Misc. Correspondence
	1.12 Pre-proposal Conference Minutes & Agenda
	1.13 Proposals Received

The SCR is responsible for the adequacy of a Procurement file. The SCR shall review the documents scanned into the Procurement file so that they are properly filed. The SCR may file or refile any documents through the Oracle system through their desk top computers.

Overflow Files - 6.10.G.2

Voluminous unsuccessful quotes, correspondence, specifications, drawings, etc., may be maintained in an overflow file kept within the SCR's Department. When procurement is closed, the overflow files are sent to Archives.

Classified Files - 6.10.G.3

All classified information or documents are to be kept at specifically designated document control stations. The following identifies authorized repositories where classified procurement data is to be located:

Procurement Location	Document Control Station
SNL/NM Building 800	Security Building 802, Room 135
SNL/CA Building 911	Classified Safe in Building 911

Caution: Classified information is not permitted in any Procurement file.

Duplicate Copies - 6.10.G.4

Procurement files should not contain duplicate copies or draft copies of contract documents. In addition, needless duplicate copies of documentation included in the files elsewhere should be eliminated.

Send feedback on ideas and information on this page to the Process Expert, Adolph Bachicha.

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